



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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GROUP 2700

In re Application of: Jay S. Walker et al.

For: METHOD AND APPARATUS FOR
GENERATING A COUPON

Examiner: D. Smith

Serial No.: 09/076,409

Group Art Unit: 2764

Filing Date: May 12, 1998

Docket No.: WD2-97-563

Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Applicants hereby submit the following documents for the above-identified patent application:

1. Supplemental Information Disclosure Statement (in duplicate);
2. Form PTO-1449;
3. Copy of references (106) cited therein; and
4. Postcard.

The Assistant Commissioner is hereby authorized to charge the associated filing fee in the amount of \$240.00 to Deposit Account No. 50-0271. Order No. WD2-97-563. A duplicate copy of this sheet is attached. The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment, to Deposit Account No. 50-0271. Order No. WD2-97-563. A duplicate copy of this sheet is attached.

September 28, 1999
Date

Respectfully submitted,

Dean Alderucci
Attorney for Applicants
PTO Reg. No. 40,484
Walker Digital Corporation
Five High Ridge Park
Stamford, CT 06905

Certificate of Mailing

I hereby certify that this correspondence is being sent via first class mail in an envelope with sufficient postage addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 September 28, 1999.

Veronika S. Leliever
Typed Name of Person Making Deposit

Signature

09/28/99
Date



Attorney Docket No.: WD2-97-563

#5

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed below and on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider these items and to independently ascertain their teaching.

10/01/1999 AIBRAHIN 00000031 500271 09076409

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- A. U. S. Patent No. 3,573,747 entitled "INSTINET COMMUNICATIONS SYSTEM FOR EFFECTUATING THE SALE OR EXCHANGE OF FUNGIBLE PROPERTIES BETWEEN SUBSCRIBERS", issued to Charles W. Adams et al. on April 6, 1971
- B. U. S. Patent No. 4,108,361 entitled "UNIVERSAL MARK SENSE BETTING TERMINAL SYSTEM AND METHOD", issued to Stephen R. Krause on August 22, 1978.
- C. U. S. Patent No. 4,323,770 entitled "UNIT PARTICULARLY FOR TAKING STAKES AND POSSIBLE DETERMINING THE WINNERS IN A GAME SUCH AS A NATIONAL LOTTO GAME", issued to Gerard Dieulot et al. on April 6, 1982.
- D. U. S. Patent No. 4,494,197 entitled "AUTOMATIC LOTTERY SYSTEM", issued to Seymour Troy et al. on January 15, 1985.
- E. U. S. Patent No. 4,500,880 entitled "REAL TIME, COMPUTER-DRIVEN RETAIL PRICING DISPLAY SYSTEM", issued to Earl R. Gomersall on February 19, 1985.
- F. U. S. Patent No. 4,669,730 entitled "AUTOMATED SWEEPSTAKES-TYPE GAME", issued to Maynard E. Small on June 2, 1987.
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- I. U. S. Patent No. 4,760,247 entitled "OPTICAL CARD READER UTILIZING AREA IMAGE PROCESSING", issued to Martin Keane et al. on July 26, 1988.
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- M. Abstract of Japanese Patent No. 5242363 A entitled "METHOD FOR COLLECTING FINAL CONSUMER'S PURCHASING INFORMATION", issued to Inokuchi Keiji on September 21, 1993.
- N. PCT Publication No. WO 9735441 A2 entitled "DATA DISTRIBUTION AND ACQUISITION SYSTEM WITH INCENTIVE INFORMATION AVAILABLE VIA MEDIUM - HAS INCENTIVE COUPON DATA PROVIDED TO USER PERSONAL COMPUTER VIA RADIO OR NETWORK AND PRINTED INTO COUPONS AFTER DATA INPUT WITH USAGE REPORTS IS FORMED", issued to M.W. Walden on September 25, 1997.
- O. PCT International Publication No. WO 97/46961 entitled "POINT OF SALE PURCHASING VALUE ACCUMULATION SYSTEM", issued to Roland Koch et al. on December 11, 1997.
- P. PCT International Publication No. WO 97/50064 entitled "ELECTRONIC COUPON DISPENSING SYSTEM", issued to Jack T. West on December 31, 1997.
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- FFF. U. S. Patent No. 5,592,375 entitled "COMPUTER-ASSISTED SYSTEM FOR INTERACTIVELY BROKERING GOODS OR SERVICES BETWEEN BUYERS AND SELLERS", issued to Bardwell C. Salmon et al. on January 7, 1997.
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- HHH. U. S. Patent No. 5,611,052 entitled "LENDER DIRECT CREDIT EVALUATION AND LOAN PROCESSING SYSTEM", issued to Diana R. Dykstra et al. on March 11, 1997.
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1. ☐ Any copy of the items listed above and on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior ☐ Continuation, ☐ Divisional or ☐ Continuation in part application filed under 37 C.F.R. §§ 1.53 or 1.60, U.S. Serial No. _____, filed _____.
2. ☐ For each of the following items listed above and on the enclosed copy of Form PTO-1449 that is not in the English language, a European Search Report from a counterpart European application is enclosed. Such items are marked as reference letter(s): _____.
3. ☐ For each of the following items listed above and on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application. Such items are marked as reference letter(s): _____.
4. ☒ In addition to the citations listed above, applicants respectfully direct the Examiner's attention to the following U.S. patent applications, which are commonly assigned to the assignee of the instant application, and which may be deemed pertinent to the instant application:

<u>Serial No.</u>	<u>Inventors</u>	<u>Filing Date</u>	<u>Group Art Unit</u>	<u>Examiner's Init.</u>
08/946508	Walker et al.	10/07/97	2761	
09/045386	Walker et al.	03/20/98	2786	
09/045036	Walker et al.	03/20/98	3642	
09/045347	Alderucci et al.	03/20/98	3642	
09/045518	Van Luchene et al.	03/20/98	3642	
09/045084	Van Luchene et al.	03/20/98	3642	
09/083689	Van Luchene et al.	05/21/98	2761	
09/083483	Walker et al.	05/22/98	2761	
09/085424	Walker et al.	05/27/98	1773	
09/107971	Van Luchene et al.	06/30/98	3642	

The Examiner is respectfully requested to fully consider and independently ascertain the teachings and relevance of those applications with respect to the instant application.

5. ☐ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
 - ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.
 - ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491.
 - ☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office Action on the merits.

6. ☐ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. 1.97(c), after the period specified in paragraph 5 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 10 below.
7. ☒ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c) after the period specified in paragraph 5 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action). The fee due under 37 C.F.R. §1.17(p) is to be paid as set forth in paragraph 11 below.
8. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in accordance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a Notice of Allowance, but before the payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 10 below; and
 - b. this document is to be considered as a petition requesting consideration of the information disclosure statement.
 - c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 11 below.
9. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
- ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition to Withdraw Application from Issue;
 - ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition to Withdraw Application from Issue.
 - ☐ The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 11 below.
10. ☐ I hereby certify:
- ☐ that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing

of this Information Disclosure Statement. A copy of such communication is enclosed.

- [] that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

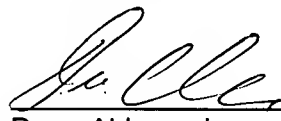
11. [X] Please accept payment of the fees due as indicated below:

- [] A check in the amount of \$240.00 is enclosed in payment of the fee due under 37 C.F.R. 1.17(p).
- [X] The Commissioner is hereby authorized to charge \$240.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(p). A duplicate copy of this sheet is attached for such purpose.
- [] A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(i)(1).
- [] The Commissioner is authorized to charge \$130.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(i)(1). A duplicate copy of this sheet is attached.

12. [X] The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 50-0271. A copy of this authorization is attached.

Respectfully submitted,

September 28, 1999
Date



Dean Alderucci
Attorney for Applicants
PTO Reg. No. 40,484
Walker Digital Corporation
Five High Ridge Park
Stamford, CT 06905
(203) 905-6666 (phone)
(203) 595-8266 (fax)